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08-01-01

PTO/SB/05 (2/98)

A

## UTILITY

PATENT APPLICATION  
TRANSMITTAL

Attorney Docket No.

PROS1100-1

First Inventor or Application Identifier

Ronald F. Woestemeyer, et al

Title

System and Method for Analyzing Transaction in an  
Electronic Exchange

Express Mail Label No.

EL 914822332 US

Only for nonprovisional applications under 37 CFR § 1.53(b)

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

1. ☒ Fee Transmittal for FY 2001  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages] **27**  
(preferred arrangement set forth below)
- x - Descriptive Title of the Invention
  - x - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Description of Related Art
  - x - Field of the Invention
  - x - Summary of the Invention
  - x - Brief Description of the Drawings (if filed)
  - x - Detailed Description
  - x - Claim(s)
  - x - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets] **3**
4. ☒ Oath or Declaration (unexecuted) **3**  
[Total Pages]
- a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 CFR 1.63(d)(2) and 1.33(b)
5. ☐ Incorporation By Reference (useable if box 4b is checked).  
The entire disclosure of the prior application, from  
which a copy of the oath or declaration is supplied  
under Box 4b, is considered to be part of the disclosure  
of the accompanying application and is hereby  
incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer-Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b)  
Statement (when there is an assignee) ☒ Power of Attorney  
(unexecuted)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure  
Statement (IDS)/PTO-1449 ☐ Copies of IDS  
Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard
14. ☒ Yes Small Entity ☐ Statement filed in prior application,  
Status still proper and desired
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Other: Certificate of Express Mail: \$539  
Check; Non-publication Request

## 17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment

☐ Continuation ☐ Divisional ☐ Continuation-In-Part (CIP) of prior Application No.: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit \_\_\_\_\_

☒ Claims the benefit of Provisional Application No. 60/222,534 filed on 8/2/00

## CORRESPONDENCE ADDRESS:

Customer Number Label:

Name: Steven R. SprinklePh: 512-457-7025Fax: 512-457-7001TYPED or PRINTED NAME Steven R. Sprinkle

SIGNATURE \_\_\_\_\_

REGISTRATION NO. 40,825Date 7/31/01

# FEE TRANSMITTAL for FY 2001

## Complete if Known

Application Number	
Filing Date	July 31, 2001
First Named Inventor	Ronald F. Woestemeyer, et al.
Examiner Name	
Group / Art Unit	
Attorney Docket No.	PROS1100-1

**TOTAL AMOUNT OF PAYMENT**    (\$ 539.00)

### METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number **50-0456**

Deposit Account Name **Gray Cary Ware & Freidenrich LLP**

☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2. ☒ Payment Enclosed:

☒ Check    ☐ Money Order    ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Code	\$	Code	\$		
101	710	201	355	Utility Filing Fee	<input checked="" type="checkbox"/>
106	310	206	155	Design Filing Fee	<input type="checkbox"/>
107	480	207	240	Plant Filing Fee	<input type="checkbox"/>
108	690	208	345	Reissue Filing Fee	<input type="checkbox"/>
114	150	214	75	Provisional Filing Fee	<input type="checkbox"/>

**SUBTOTAL (1)**    (\$355.00)

#### 2. EXTRA CLAIM FEES

Claims	Extra Claims X	Fee from below =	Fee Paid
36 -20	16	\$9	\$144
Ind. Clms 4 -3	1	\$40	\$40
Multiple Dependent Claims	0	0	0

Large Entity		Small Entity		Fee Description
Code	\$	Code	\$	
103	18	203	9	Claims in excess of 20
102	80	202	40	Indep. claims in excess of 3
104	260	204	130	Multiple dependent claim
109	78	209	39	Reissue indep. claims over original patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)**    (\$184.00)

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES


Large Entity		Small Entity		Fee Description	Fee Paid
Code	\$	Code	\$		
105	130	205	65	Surchrg - late filing fee or oath	<input type="checkbox"/>
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	<input type="checkbox"/>
147	2520	147	2520	Filing a request for reexamination	<input type="checkbox"/>
112	920*	112	920*	Request publication of SIR prior to Examiner action	<input type="checkbox"/>
113	1840*	113	1840*	Request publication of SIR prior to Examiner action	<input type="checkbox"/>
115	110	215	55	Extension for reply within first month	<input type="checkbox"/>
116	380	216	190	Extension for reply within second month	<input type="checkbox"/>
117	870	217	435	Extension for reply within third month	<input type="checkbox"/>
118	1360	218	680	Extension for reply within fourth month	<input type="checkbox"/>
119	300	219	150	Notice of Appeal	<input type="checkbox"/>
120	300	220	150	Filing a brief in support of appeal	<input type="checkbox"/>
121	260	221	130	Request for oral hearing	<input type="checkbox"/>
138	1510	138	1510	Petition to institute a public use proceeding	<input type="checkbox"/>
140	110	240	55	Petition to revive: unavoidable	<input type="checkbox"/>
141	1210	241	605	Petition to revive: unintentional	<input type="checkbox"/>
142	1210	242	605	Utility issue fee (or reissue)	<input type="checkbox"/>
143	430	243	215	Design issue fee	<input type="checkbox"/>
144	580	244	290	Plant issue fee	<input type="checkbox"/>
122	130	122	130	Petitions to the Commissioner	<input type="checkbox"/>
123	50	123	50	Petitions related to provisional applications	<input type="checkbox"/>
126	240	126	240	Submission of Information Disclosure Statement	<input type="checkbox"/>
581	40	581	40	<b>Recording each patent assignment per property</b>	<input type="checkbox"/>
146	690	246	345	Filing a submission after final rejection (37 CFR § 1.129(a))	<input type="checkbox"/>
149	690	249	345	Each additional invention to be examined (37 CFR § 1.129(b))	<input type="checkbox"/>

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

 \*Reduced by Basic Filing Fee Paid    **SUBTOTAL (3)**    (\$ 0.00)

#### SUBMITTED BY CUSTOMER NO. 25094:

Name	Steven R. Sprinkle	Registration No.	40,825	Complete (if applicable) Telephone	(512) 457-7025
Signature				Date	7/31/01


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE	
CERTIFICATE OF MAILING BY "EXPRESS MAIL"	Atty Docket No. (Optional) <b>PROS1100-1</b>
<b>Attn: Box Patent Application</b> Hon. Asst. Commissioner of Patents Washington, D.C. 20231	In the Application of: Ronald F. Woestemeyer, et al.
	Date Filed: July 31, 2001
	Title: <b>System and Method for Analyzing Transaction in an Electronic Exchange</b>

Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EL914822332US, on July 31, 2001, addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, DC 20231.

Respectfully submitted,

**Gray Cary Ware & Freidenrich LLP**

  
 Carolyn J. Williams

Enclosures:

Postcard  
 \$539.00 Check for Utility Application Filing Fee  
 Utility Patent Application Transmittal  
 Fee Transmittal for FY2001  
 Specification, Claims, Abstract (27 pages)  
 Sheets of Drawings (Figures 1 thru 3)  
 Unsigned Declaration and Power of Attorney  
 Non-publication Request

0914822332US

<b>REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor	Ronald F. Woestemeyer, et al.
	Title	System and Method for Analyzing Transaction in an Electronic Exchange
	Atty. Docket:	PROS1100-1

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

Date

7/31/01

Steven R. Sprinkle  
Reg. No. 40,825

This request must be signed in compliance with 37 C.F.R. 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 C.F.R. 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 C.F.R. 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. Gray Cary\AU4064878.1 105171-991101